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PATENT APPLICATION  
Docket No: 11675.119.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of . )  
Gonzalez, et al. )  
Serial No.: 09/392,034 ) Art Unit  
Filed: September 8, 1999 ) 2812  
For: METHOD FOR FORMING A SELF-ALIGNED )  
ISOLATION TRENCH )  
Examiner: Not yet assigned )

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

The Assistant Commissioner for Patents  
Washington, D.C. 20231

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DEC 09 1999

TECHNOLOGY CENTER 2800

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

Statement of References Previously Disclosed  
Under 37 C.F.R. § 1.98(d)

The following listed references are not enclosed because, under 37 C.F.R. § 1.98(d), they were previously cited by or submitted to the Office in application serial number 09/855,558, filed December 5, 1997, issued September 14, 1999, as U.S. Patent No. 5,953,621, which is a continuation of serial number 08/823,609, filed March 25, 1997, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

3,791,882	4,965,221	5,387,534
4,409,609	5,045,904	5,433,794
4,717,682	5,221,857	5,541,440
4,819,052	5,229,316	5,780,325

S. Wolf, Silicon Processing for the VLSI Era, Vol. 2; Process Integration, Lattice Press, pp. 54-56, 1990.

Stanley Wolf, Silicon Processing for the VLSI Era, Vol. 2; Process Integration, Lattice Press, p. 331, 1990.

T. Ishijima, et al., "A Deep Sub-Micron Isolation Technology With T-Shaped Oxide (TSO) Structure," IEEE Publication No. Ch2865-4/90/0000-0257 (1990), pp. 257-260.

Dated this 15 day of December, 1999.

Respectfully submitted,



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Attorney for Applicant(s)

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BKD:prh

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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>11675.1 1.1</b>		Application Number <b>09/392,034</b>	
				Applicant(s) <b>Gonzalez, et al.</b>			
				Filing Date <b>September 8, 1999</b>		Group Art Unit <b>2812</b>	
				<b>U.S. PATENT DOCUMENTS</b>			

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1	3,791,882	Feb. 1974	Ogiue	438	417	
	2	4,409,609	Oct. 1983	Fukuda	257	520	
	3	4,717,682	Jan. 1988	Taka et al.	438	361	
	4	4,819,052	Apr. 1989	Hutter	257	378	
	5	4,965,221	Oct. 1990	Dennison et al.	437	70	
	6	5,045,904	Sep. 1991	Kobayashi et al.	257	539	
	7	5,221,857	Jun. 1993	Kano	257	539	
	8	5,229,316	Jul. 1993	Lee et al.	438	424	
	9	5,387,534	Feb. 1995	Prall	438	287	
	10	5,433,794	Jul. 1995	Fazan et al.	148	33	
	11	5,541,440	Jul. 1996	Kozai et al.	257	513	

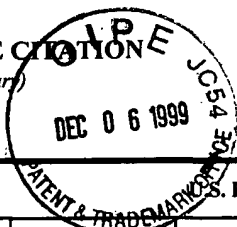
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>		
	12	S. Wolf, Silicon Processing for the VLSI Era, Vol. 2; Process Integration, Lattice Press, pp. 54-56, 1990.
	13	Stanley Wolf, Silicon Processing for the VLSI Era, Vol. 2: Process Integration, Lattice Press, p. 331, 1990.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)



Docket Number (Optional) <b>11675.1 1.1</b>		Application Number <b>09/392,034</b>
Applicant(s) <b>Gonzalez, et al.</b>		
Filing Date <b>September 8, 1999</b>		Group Art Unit <b>2812</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	14	5,780,325	Jul. 1998	Lee	438	149	

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	15	T. Ishijima, et al., "A Deep Sub-Micron Isolation Technology With T-Shaped Oxide (TSO) Structure," IEEE Publication No. Ch2865-4/90/0000-0257 (1990), pp. 257-260.

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
11675.119.1.1

In Re Application Of: Gonzalez et al.

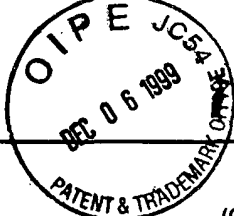
Serial No.  
09/392,034

Filing Date  
September 8, 1999

Examiner  
Not yet known

Group Art Unit  
2812

Title: **METHOD FOR FORMING A SELF-ALIGNED ISOLATION TRENCH**



**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
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(Date)

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Signature

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Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on Dec. 2, 1999 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

**Peggy R. Huft**

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

Signature

Dated: December 15, 1999

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CC:

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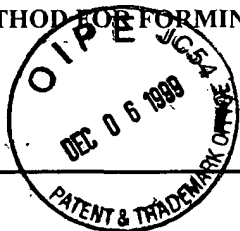
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Title: **METHOD FOR FORMING A SELF-ALIGNED ISOLATION TRENCH**



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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**DEC 09 1999**

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